



TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/706,849
		Filing Date	November 7, 2000
		First Named Inventor	Alan S. Fisher
		Group Art Unit	3624
		Examiner Name	To be assigned
Total Number of Pages in This Submission	13	Attorney Docket Number	3801P086C

ENCLOSURES <i>(check all that apply)</i>		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Return Postcard 93 Cited References</div>
Remarks		

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Andre M. Gibbs, Reg. No. 47,593 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	February 5 2003

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3624

**FEE TRANSMITTAL
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

Complete if Known

Application Number	09/706,849
Filing Date	November 7, 2000
First Named Inventor	Alan S. Fisher
Examiner Name	To be assigned
Group/Art Unit	3624
Attorney Docket No.	3801P086C

☐ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT** (\$) 0.00**METHOD OF PAYMENT (check one)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit AccountDeposit
Account
Number

02-2666

Deposit
Account
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	20* = 0	18.00	\$0.00
Multiple Dependent	3* = 0	84.00	\$0.00

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple Dependent claim, if not paid	
1204	84	2204	42	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					

*or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1404	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	1809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

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Name (Print/Type)	Andre M. Gibbs	Registration No. (Attorney/Agent)	47,593	Telephone	(408) 720-8300
Signature		Date	February 5 2003		

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.



Docket No.: 3801P086C

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#11
02/13/03
CW

In Re the Application of:

ALAN S. FISHER, ET AL.

Application No.: 09/706,849

Filed: November 7, 2000

For: **METHOD AND SYSTEM FOR
PROCESSING AND TRANSMITTING
ELECTRONIC AUCTION
INFORMATION**

Art Group: 3624

Examiner: To be assigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

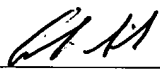
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

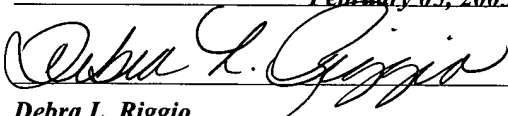
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: February 5, 2003


Andre M. Gibbs, Reg. No. 47,593

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(408) 720-8300

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

1

of

7

Application Number

09/706,849

Filing Date

November 7, 2000

First Named Inventor:

Alan S. Fisher

Group Art Unit

Not yet assigned

Examiner Name

Not yet assigned

Attorney Docket Number

003801.P086C

U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code ²	Kind (If known)			
		3,581,072		Nymeyer	05-25-1971	
		4,677,552		Sibley, Jr.	06-30-1987	
		4,789,928		Fujisaki	12-06-1988	
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		5,243,515		Lee	09-07-1993	
		5,258,908		Hartheimer, et al.	11-02-1993	
		5,305,200		Hartheimer, et al.	04-19-1994	
		5,317,683		Hager, et al.	05-31-1994	
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		5,375,055		Togher, et al.	12-20-1994	
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		5,426,281		Abecassis	06-20-1995	
		5,428,778		Brookes	06-27-1995	
		5,553,145		Micali	09-03-1966	
		5,629,982		Micali	05-13-1997	

FOREIGN PATENT DOCUMENTS

[illegible]

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Signature

Date Considered

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Substitute for Form 1449A/PTO (Modified)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet
3 of 7

3

of

7

Application Number

09/706,849

Filing Date

November 7, 2000

First Named Inventor:

Alan S. Fisher

Group Art Unit

Not yet assigned

Examiner Name

Not yet assigned

Attorney Docket Number

003801.P086C

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OTHER ART - NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		BANATRE, J-P, et al., "The Design and Building of Enchere, A Distributed Electronic Marketing System," Communications of the Association for Computing Machinery, New York, NY, US. Vol. 29, No. 1, Jan. 1986, pp 19-29, XP000002077.	
		SHULMAN, Richard E., "VICS and Quick Response: Priority Issues for Mass Merchandisers, Oct. 1989 Supermarket Business, v44, n10, pp. 13(4).	
		ROCKOFF, Todd E. et al., "Design of an Internet-Based System for Remote Dutch Auctions," Internet Research: Electronic Networking Applications and Policy, vol. 5, No. 4, 1995, pp. 10-16	
		BOOKER, Ellis, "Mega Real Estate Auction Counts on Imaging," Computerworld, Dec. 7, 1992, p. 20.	
		DYSON, Esther, "Information, Bid and Asked," Forbes, Aug. 20, 1990, p.92.	
		TENENBAUM, Jay M. et al., "CommerceNet: Spontaneous Electronic Commerce on the Internet," 1995 IEEE Spring Compcon, pp. 38-43.	
		"ONSALE: ONSALE Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for The Computer Museum in Boston" Mountain View, CA, May 22, 1995, © 1998 Business Wire, 4 pgs.	
		"The Computer Museum Brings Auction Block to Cyberspace in First Internet Auction," Business Wire, © 1994 Business Wire, Inc., Mar. 14, 1994, 2 pgs.	
		"AUCNET TV Auction Network System," Harvard Business School, 9- 190-001, Jul. 19, 1989, 1 pg.	
		"AUCNET: The Story Continues," Harvard Business School, 2-195-122, Jan. 17, 1995, 1 pg.	
		COHEN, Danny, "Electronic Commerce," University of Southern California, Information Sciences Institute, ISI Research Report, ISI/RR-89-244, Oct. 1989, cover, index, pgs. 1-19; 31-33.	

Examiner
Signature

Date

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number	09/706,849
Filing Date	November 7, 2000
First Named Inventor:	Alan S. Fisher
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	003801.P086C

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Sheet 4 of 7

OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		FRANKLIN, Matthew K. et al., "The Design and Implementation of a Secure Auction Service," 1995 IEEE Symposium on Security and Privacy, Oakland, California, May 8-10, 1995, pp. 2-14 and cover.	
		GRAVES, Robert L. et al., "An Auction Method for Course Registration," INTERFACES 23:5, Sep.-Oct., 1993, pp. 81-92.	
		MCCABE, Kevin A. et al., "Smart Computer-Assisted Markets," Science, Vol. 254, Oct. 25, 1991, pp. 534-538.	
		TUROFF, Murray et al., "An Electronic Information Marketplace," North-Holland Computer Networks and ISDN Systems 9 (1985), pp. 79-90.	
		FREEMAN, Brian et al., "Hosting Services—Linking The Information Warehouse to the Information Consumer," IEEE Spring Compcon 1994, pp. 165-171.	
		VARIAN, Hal. R. "Economic Mechanism Design for Computerized Agents," USENIX Association, Proceedings of the First USENIX Workshop on Electronic Commerce, New York, New York, Jul. 11-12, 1995, pp. 13-21 and cover.	
		SIRBU, Marvin et al., "NetBill: An Internet Commerce System Optimized for Network Delivered Services," IEEE 1995 Spring Compcon, pp. 20-25.	
		SCHMITZ, Tom, "California Computer Auctions No Boon for Bargain Hunters," September 13, 1993, San Jose Mercury News, Calif., 4 pgs.	
		MASKERY, Maryann, "Car Auction Reaches Into Space," Automotive News, November 25, 1991, p. 6, (3 pgs.)	
		ANDERSON, Scott et al., "The Efficiency of Experimental Asset Markets: Empirical Robustness and Subject Sophistication," Research in Experimental Economics, Vol. 4, pp. 107-190, © 1991 JAI Press, Inc.	
		WILLIAMS, Arlington W. and WALKER, James M. "Computerized Laboratory Exercises for Microeconomics Education: Three Applications Motivated by Experimental Economics," The Journal of Economic Education, Fall 1993, Vol. 24, No. 4, 13 pgs.	

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Signature

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Sheet 5 of 7

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Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		SAEKI, Motoshi et al., "Supporting Distributed individual Work in Cooperative Specification Development," Department of Computer Science, Tokyo Institute of Technology, Nov. 15, 1995, pp. 232-247.	
		HELINSKI, Paul "Automating Web-Site Maintenance Part 2, Perl-Based Tools to Manage Your Web Site," Web Techniques, December 1996, pp. 75-76 & 78.	
		"Computer Museum Hosts Internet Auction," Computerworld, March 28, 1994, 1 page.	
		"Seventh Annual InterMac Users Group Education Symposium," Computerworld, March 28, 1994, (on same page as above reference).	
		"Auctioning off Relics of the Computer Age," Business Week, April 11, 1994, 1 page.	
		"The Computer Museum Brings Auction Block to Cyberspace in First Internet Auction," March 11, 1994 press release, 1 page.	
		"First-Ever Internet Auction Produces Results for the Computer Museum," April 28, 1994 press release, 4 pages. (duplicate releases)	
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		"Unusual Farmland Auction Set," Liquidation Alert, © 1994 Harrison Scott Publications, Inc., March 28, 1994, 2 pages.	
		EDELL, Richard J. "Billing Users and Pricing for TCP," IEEE Journal on Selected Areas in Communications, Vol. 13, No. 7, September 1995, pp. 1162-1175	
		BANATRE, Michael, "Distributed Auction Bidding System," Computer Communications, Vol. 4, No. 4, August 1981, pp. 179-186.	
		KAEHLER, Ted et al., "Research Report, "Betting, Bribery, and Bankruptcy-A Simulated Economy that Learns to Predict," IEEE Spring Compcon 1989, pp. 357-361 and cover.	

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		NEO, Boon Siong, "The Implementation of an Electronic Market for Pig Trading in Singapore," The Journal of Strategic Information Systems, December 1992, Vol. 1, No. 5, cover, 2 pg. index, pgs. 278-288.	
		SMITH, Rod, "DTN, Superior to Offer Daily Electronic Auction," Feedstuffs, Business Report Section, February 8, 1993, 1 page.	
		RECK, Martin, "Types of Electronic Auctions," ST.GALLEN, Hochschule [no date; ref. at end of article M. Reck: "The Identification and Formal Specification of Electronic Markets Types," paper presented at the ICIS Doctoral Consortium, Dallas (TX), 1992, pp. 236-243.	
		McCARTHY, GENE, "The Electronic Auctioning of Servicing" Mortgage Banking, December 1994, pgs. 96-98.	
		JOHNSON, Alonzo et al., "Multiple Unit Double Auction User's Manual," Social Science Working Paper 676, Division Of The Humanities and Social Sciences, California Institute of Technology, June 1988, Revised September 1989, pp. EO296352-EO296369.	
		FORSYTHE, Robert, NELSON, Forrest, NEUMANN, George, and WRIGHT, Jack "The Iowa Presidential Stock Market: A Field Experiment," Research in Experimental Economics, Vol. 4, pp. 1-43, ISBN: 0-89232-652-2.	
		Cassini Resource Exchange User's Guide. California Institute of Technology, April 1993, pp. E0296417-E0296435.	
		O'DELL, John "Automobiles" The Los Angeles Times Copyright, The Times Mirror Company; Los Angeles Times 1994, pp. 13-14.	
		THOMAS, Charles M. "57 Northeast Mitsubishi Dealers Try Out Computerized Auction," Automotive News, Copyright 1994 Crain Communications Inc., September 19, 1994, pp. 11-12.	
		TONER, Ann, "Hogs Sold In High-Tech Market Bidders Linked Through Satellite," Omaha World-Herald Company, Omaha World Herald, September 11, 1994, Business Section, pp. E0295270-E0295273.	
		LEDYARD, John O., PORTER, David & RANGEL, Antonio "Using Computerized Exchange Systems to Solve an Allocation Problem in Project Management," Journal of Organizational Computing (1994), pp. 271-296.	

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